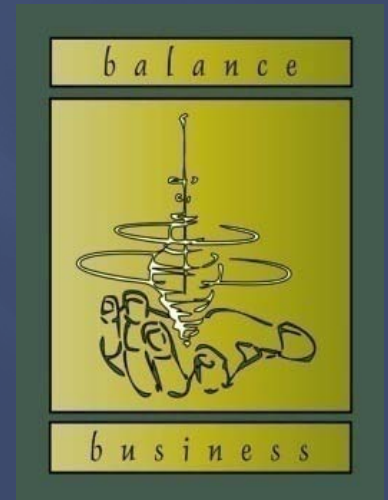




CHARTER START WORKSHOPS

Governance & Leadership



Workshop Overview

- ▣ Board Governance
- ▣ Board Responsibility
- ▣ Board Effectiveness
- ▣ Charter School Leadership
- ▣ Strategic Planning

Board Governance

- ▣ What is governance?
 - Consistent management, cohesive policies, processes and decision-rights for a given area of responsibility
- ▣ 7 Principles
 1. Govern as stewards
 2. Establish organizational purpose
 3. Exercise fiduciary responsibility
 4. Delegate authority and ensure accountability
 5. Speak and act as one
 6. Spend the board's time only on things that matter
 7. Commit resources and time to developing good governance

Board Governance

- ▣ Board Recruiting
- ▣ Board Roles
- ▣ Board Position Agreement
- ▣ Board Job Descriptions
- ▣ Executive Committee
- ▣ Succession Planning
- ▣ Board Development Committee

Board Recruiting

Prospective Board Members-Handout #1

Charter Schools Institute Request for Information from Prospective Board Members

1. Please provide your educational and employment history. A resume is preferred, but not required.
2. Please indicate whether you will be at least eighteen years old by January 1 of the year in which the proposed charter school would open.
3. Please indicate how you became aware of the proposed charter school and the opportunity to serve as a member of its board if it is chartered, including who invited you, if applicable, to sit on the Board.
4. Please explain why you wish to serve on the Board.
5. Please indicate if you have previously served on a board of a school district or a not-for-profit corporation (including the board of a non-public school) and describe any relevant experience.
6. Please describe your understanding of the appropriate role of a public charter school board member.
7. Please indicate specifically the knowledge and experience that you would bring to the board.
8. Please provide a forecast of where you see the school in one year and again in four years.
9. How would you handle a situation in which you believe one or more members of the school's board are involved in self-dealing (working for their own benefit, or the benefit of their friends and family)?

Conflict of Interest

10. If you, your spouse or other family members knew any of the other prospective board members prior to being invited to sit on the board, please so indicate and describe the relationship with each such prospective board member.
11. If you, your spouse or other immediate family members know anyone that plans to do business with the school, please so indicate and describe the relationship and the nature of the potential business.
12. If the school proposes to partner with an educational service provider (a management company), please indicate if you, your spouse or other immediate family members know any employees, owner, or agents of that provider. If your

Board Recruiting

Board Matrix-Handout #2

Charter School	Board and Committee Member Matrix					
Board Positions	Candidates	Organization	Title or Responsibility	Notes	Board Experience	Parent
<i>Executive Committee</i>						
President						
Vice President						
Secretary						
Treasurer						
<i>Committee Chairs</i>						
Development (fundraising strategy, sustainability)						
Marketing and Communications (website, newsletter, PR, brochure, etc.)						
Facilities Management						
Curriculum Development						
Etc.						

Board Roles

Board Roles-Handout #3

Roles Of The Board Of Directors

The Board of Directors of every nonprofit organization plays many important roles in furthering the purpose of the organization. These may include, but are not limited to, the following.

- ❖ **PLANNER:** for the organization's future.
- ❖ **MONITOR:** of the current goals and objectives.
- ❖ **EVALUATOR:** of management efficiency and program effectiveness.
- ❖ **ORGANIZER:** of community constituencies to assist the organization.
- ❖ **EMPLOYER:** of the personnel at the organization.
- ❖ **MOTIVATOR:** of the staff and volunteers.
- ❖ **FUNDRAISER:** to ensure that all necessary funds are available.
- ❖ **CATALYST:** for long-term organizational change.
- ❖ **PROMOTER:** of the total organization as well as of its activities.
- ❖ **SUPPORTER:** of the organization's programs and services.
- ❖ **PROTECTOR:** of the public interest in exchange for tax-exempt status.
- ❖ **ADVOCATE:** for issues and positions which may affect the organization or its constituents.
- ❖ **ADVISOR:** to the Executive Director on issues which fall within the executive's purview.
- ❖ **LEADER:** to move the organization forward and not allow it to stagnate.
- ❖ **GOVERNOR:** to make corporate decisions.

(Source: Management Cornerstones, Inc. Milwaukee, WI, Revised 1989, 1990, 1995, 2000)

Board Position Agreement

Board Agreement-Handout #4A

Sample Charter School Board Director Position Description

1. Attend regular meetings of the Charter School board, which are each approximately two hours in duration. The board meets at least eight (8) times per year. Be accessible for personal contact in between board meetings.
2. Provide leadership to board committees. Each board director is expected to serve as an active, ongoing member of at least one committee. This requires a number of meetings per year plus individual committee task completion time. Presently committees include educational policy, resource development, strategic planning, board development, personnel, finance, and executive.
3. Commit time to developing financial resources for the Charter School. This includes making a personally meaningful financial gift as well as supporting other fund development activities of the Charter School in a manner appropriate for board directors.
4. Responsibly review and act upon committee recommendations brought to the board for action.
5. Prepare in advance for decision-making and policy formation at board meetings; take responsibility for self-education on the major issues before the board.
6. Participate in the annual board director self-review process.
7. Participate in the annual board development and planning retreat usually held in March of each year.
8. In general, utilize personal and professional skills, relationships and knowledge for the advancement of the Charter School.

I am aware that this board director position description is an expression of good faith and provides a common ground from which board directors can operate. Additional information on the Charter School mission, educational program and board responsibilities is contained in the board orientation materials and bylaws which I have read.

Board Director's Signature

Date

Board Job Descriptions

Board President Job Description-Handout #4B

ORGANIZATION

Job Description

Position Title: President

Reports To: Executive Committee

Summary

The President serves as the chairman of the board and is responsible for the board abiding by the by-laws, and ensuring that all committee functions and that of officers are executed. The President has the ultimate responsibility of maintaining the integrity, the stability, and the operations of ORGANIZATION and that the board and membership actions reflect the mission, values and vision of ORGANIZATION. The President shall serve a single three year term.

Essential Duties and Responsibilities

The President is responsible for the following duties:

Board Management

- Attends monthly board meetings.
- Prepares monthly status, annual and other reports.
- Provides input and goals to board for strategic planning purposes.
- Attends other events/meetings as necessary.
- Coordinates board orientation sessions.
- Guides the board in policy making.
- Serves as legal representative of the organization in financial and contractual situations.
- Recruits, educates and mentors board members as to their functions and duties.

Executive Leadership

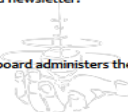
- Serves as Chairman of the Board.
- Serves on the Executive Committee.
- Assesses the needs of the organization on an on-going basis.
- Maintains the adherence to the by-laws and policies.
- Supervises the Vice President in the implementation of the strategic plan process.

Communication

- Communicates to the membership as needed via email, phone and newsletter.
- Ensures the maintenance of committee records.

Financial Management

- Ensures that the organization has an annual budget and that the board administers the funds accordingly.



Executive Committee

Executive Committee-Handout #5

Executive Committee

General Purpose

The executive committee is commissioned by and responsible to the board of directors to function on behalf of the board of directors in matters of emergency and in interim periods between regularly scheduled board meetings. The executive committee shall have and exercise the authority of the board of directors provided that such authority shall not operate to circumvent the responsibility and authority vested in the board of directors by the by-laws, and any action taken is to be ratified by the board of directors at its first subsequent meeting.

Appointments and Composition

1. The executive committee shall be composed of the president, vice-President, secretary, and treasurer of the board and one at-large member.
2. The chair of the executive committee shall be the president of the board of directors.
3. The president, vice-president, secretary, treasurer and one at-large member shall be elected in accordance with procedures set forth in the by-laws of the charter school.

Responsibilities

1. Meet to draw up an agenda for meetings of the full board of directors.
2. Make decisions on behalf of the full board as needed which cannot wait for the full board or on matters delegated to the Executive Committee by the board of directors.
3. Maintain effective communication with the committees of the charter school board.
4. Coordinate the annual planning and budget process on the charter school in conjunction with the finance committee and the charter school administrator.
5. Respond to the call of the board president or charter school administrator for emergency meetings to deal with special problems between regular board meetings.
6. Annually submit objectives as part of the planning and budgeting process.
7. Annually evaluate its work as a committee and the objectives it has committed itself to and report on same to the board of directors.

Succession Planning

- ▣ By-Laws
- ▣ Board Matrix
- ▣ Recruiting
- ▣ Staggered Terms
- ▣ Tracking

Name	Position	Term Expires
Jane Doe	Board President	April 2009

Board Development Committee

- ▣ Recruiting
- ▣ Nominations
- ▣ Orientation: Board Manual
 - ▣ Organization Info. (History, Mission, Talking Points)
 - ▣ Board Info:
 - Guidelines
 - Position Agreement
 - By Laws
 - ▣ Job Descriptions
 - ▣ Board Agenda and Minutes
 - ▣ Financial Reporting
 - ▣ Status Reports
- ▣ Assessment: Board Development

Board Responsibility

- ▣ Conflict of Interest
- ▣ Financial Oversight
- ▣ Staff Management
- ▣ By-Laws
- ▣ Directors and Officers Liability Insurance
- ▣ Vision and Strategy

Conflict of Interest

▣ Policy

- Requirement for D & O Liability Insurance
- Awareness of conflicts and open communication
- Full disclosure of conflicts
- Board Member abstention from discussion and voting
- Staff Member abstention from discussion and voting

Financial Oversight

- ▣ Long Range Financial Planning
- ▣ Annual Budget Approval
- ▣ Setting Reserve Goals
- ▣ Fundraising Strategy
- ▣ Transparency Standards

Other Responsibilities

- ▣ Staff Management
- ▣ By-Laws
- ▣ Directors and Officers Liability Insurance
 - Protects past, present and future directors and officers of nonprofit organizations from damages resulting from alleged or actual wrongful acts they may have committed in their positions. The policy provides protection in the event of any actual or alleged error, misstatement, omission, misleading statement, or breach of duty.
- ▣ Vision and Strategy: Strategic Planning

Board Effectiveness

- ▣ Board Development
 - Assessment tool
- ▣ Effective Meetings
 - Guidelines
 - Consent Agenda
 - Open Meetings
 - Status Reporting

Board Development

Assessment Tool-#6

Board Assessment Survey

regarding finances, operations, and results. They also extend transparency internally, ensuring that every board member has equal access to relevant materials when making decisions.

COMPLIANCE WITH INTEGRITY (7)

Exceptional boards promote strong ethical values and disciplined compliance by establishing appropriate mechanisms for active oversight. They use these mechanisms, such as independent audits, to ensure accountability and sufficient controls; to deepen their understanding of the organization; and to reduce the risk of waste, fraud, and abuse.

SUSTAINING RESOURCES (8)

Exceptional boards link bold visions and ambitious plans to financial support, expertise, and networks of influence. Linking budgeting to strategic planning, they approve activities that can be realistically financed with existing or attainable resources, while ensuring that the organization has the infrastructure and internal capacity it needs.

RESULTS-ORIENTED (9)

Exceptional boards are results-oriented. They measure the organization's progress towards mission and evaluate the performance of major programs and services. They gauge efficiency, effectiveness, and impact, while simultaneously assessing the quality of service delivery, integrating benchmarks against peers, and calculating return on investment.

INTENTIONAL BOARD PRACTICES (10)

Exceptional boards purposefully structure themselves to fulfill essential governance duties and to support organizational priorities. Making governance intentional, not incidental, exceptional boards invest in structures and practices that can be thoughtfully adapted to changing circumstances.

CONTINUOUS LEARNING (11)

Exceptional boards embrace the qualities of a continuous learning organization, evaluating their own performance and assessing the value they add to the organization. They embed learning opportunities into routine governance work and in activities outside of the boardroom.

REVITALIZATION (12)

Exceptional boards energize themselves through planned turnover, thoughtful recruitment, and inclusiveness. They see the correlation between mission, strategy, and board composition, and they understand the importance of fresh perspectives and the risks of closed groups. They revitalize themselves through diversity of experience and through continuous recruitment.

Excerpted from The Source: Twelve Principles of Governance That Power Exceptional Boards. Washington, DC: BoardSource 2003. For more information or to order a copy of the complete book, please visit www.boardsource.org or call 800-883-6262.

Handout #6

Effective Meetings: Guidelines

Board Guidelines-Handout #7

1. Regularly scheduled meetings
 - a. Board Meetings
 - i. When?
 - ii. Where?
 - b. Executive Committee to meet monthly, date and time TBD
2. Communication process
 - a. Email is preferred
 - b. Phone call if requested by board member or due to shortened timeline
3. Meeting Preparation
 - a. Committee reports are sent to secretary one week in advance of meeting by committee chairs and treasurer.
 - b. Agenda, committee reports and additional materials for meetings are sent by secretary to board members five days in advance of meeting.
 - c. Board members are expected to read all meeting materials in advance of the board meeting and come to the meeting prepared for discussion and decisions.
4. Agenda
 - a. Consistent format
 - b. Consent
 - c. Items for business submitted from board members and committees
 - d. Distributed prior to board meeting
5. Roles and responsibilities
 - a. Board members (committee or board positions)
 - b. Additional roles and responsibilities to be determined
 - c. Executive committee (president, vice president, secretary, treasurer) established
 - d. Board development committee responsible for board member orientation
6. Committee chairs
 - a. Marketing and communications
 - b. Fundraising
 - c. Board development
 - d. Finance
 - e. Legal
 - f. Public relations
7. Quorum establishment
 - a. Simple majority (51%)



Effective Meetings: Consent Agenda

Consent Agenda-Handout #8

A Board Resource Tool from the Midwest Center for Nonprofit Leadership

Consent Agenda

David O. Renz, Ph.D.

What is a Consent Agenda?

A consent agenda is a practice by which the mundane and non-controversial board action items are organized apart from the rest of the agenda and approved as a group. This includes all of the business items that require formal board approval and yet, because they are not controversial, there is no need for board discussion before taking a vote. Items may be on a consent agenda only if all board members agree; if even one member considers a specific item to need discussion, it must be removed and placed on the regular agenda for the board meeting.

Why are Consent Agendas Used?

Consent agendas are used to save board meeting time and to help ensure that board meetings focus on substantive topics that are worth discussion. Through the "bundling" process, the entire set of items of business that are not worth board meeting time can be voted on in one action versus taking the time to vote on each individual item.

When Should Consent Agendas Be Used?

Consent agendas should be used when there are a number of non-controversial business items on which the board needs to vote. Complete information must be provided in advance of the meeting to all board members, so that each knows what is being proposed and has the opportunity to consider whether the item truly is non-controversial. The key here is "non-controversial," and the definition of non-controversial may vary from organization to organization. Consent agenda items often are matters that a bylaw or some other rule or regulation requires to be formally approved by the board, yet there is no value added by engaging the board in discussion about the item (e.g., a routine lease renewal for a facility already included in the approved agency budget). Consent agendas are *not* to be used to hide actions that will be controversial -- to do so breaches the trust of the board and undermines the value of this practice.

Where Should Consent Agendas be Placed within the Overall Meeting Agenda?

The consent agenda typically appears very near the beginning of the regular meeting. This allows any item removed from the consent agenda to be placed onto the overall agenda for discussion and action later in the meeting. As with all formal board action, a quorum must be present in order for action on the consent agenda items to be legitimate and binding.

Open Meetings

- ▣ Public agency...educational institution
- ▣ All meetings (decisions or deliberations) shall be open to the public
- ▣ No decisions made in secret
- ▣ 5 day meeting notice or regular monthly meetings with annual notice and 48 hour agenda notice
- ▣ 24 hour notice for special meetings, except in emergency
- ▣ Meeting minutes must be taken
- ▣ Executive sessions for specific purposes, special guidelines for closed sessions
- ▣ Board and committee meetings

Status Reporting

Board Status Report-Handout #9

Monthly Board Status Report

Date: Month/Year

Board Member:

Distribution: Board

Position:

1. Agenda Items (summary of anything for board discussion bulleted)

2. Tasks achieved since last report and tasks scheduled; (what the committee has done and will be doing)

3. Budget (current expenses and/or items requiring board approval)

4. Comments

Charter School Leadership

- ▣ Division of Roles
- ▣ Decision Making
- ▣ Administrator Recruiting
- ▣ Head of School Job Description
- ▣ Performance Management
- ▣ Board Reporting

Division of Roles

Board & Administrator Roles-Handout #10

Responsibility	Board of Directors	Administrator
<i>Planning</i>	<ul style="list-style-type: none"> Establishes mission and program direction for the charter school and approves goals and objectives designed to achieve those ends. Reviews strategic plan and progress. Assesses compliance/progress in achieving educational and other outcomes agreed to in the charter contract. Assesses program evaluation plan. 	<ul style="list-style-type: none"> Participates in establishing mission and program direction for the charter school. Contributes to vision of the charter school; and assists the board in maintaining focus and momentum for the charter school. Develops specific program goals and objectives based on the board specific mission. Develops reports or oversees staff development of reports to demonstrate program progress.
<i>Policy</i>	<ul style="list-style-type: none"> Develop and adopt written policies. Responsible for reviewing policies periodically. 	<ul style="list-style-type: none"> Identifies need for new policies. Responsible for assuring the implementation of policies and for assisting the board in analyzing policy options.
<i>Personnel</i>	<ul style="list-style-type: none"> Sets and reviews personnel policies. Hires Charter School Administrator and evaluates the administrator's performance. 	<ul style="list-style-type: none"> Implements personnel policies. Recommends changes in personnel policies to the board. Hires all personnel and evaluates performance of staff members (or delegates to appropriate supervisor).
<i>Resource Development</i>	<ul style="list-style-type: none"> Responsible for assuring long-range commitments of resources; establishes a fund development plan and participates in its implementation. Reviews and approves all major grant proposals. 	<ul style="list-style-type: none"> Conduct research and maintain information database. Assist in fund development efforts. Develops grants and other funding applications, plans fundraising events, enters business ventures to support mission.
<i>Board Accountability</i>	<ul style="list-style-type: none"> Establishes and communicates clear expectations of Board directorship. Assures effective participation of Board directors. 	<ul style="list-style-type: none"> Facilitates training and information exchange for members in preparation for selection of Board directors. Facilitates effective communication among Board directors.

Division of Roles

Worksheet-Handout #11

Governing Board and Administrator Roles Worksheet

How to Use this Worksheet

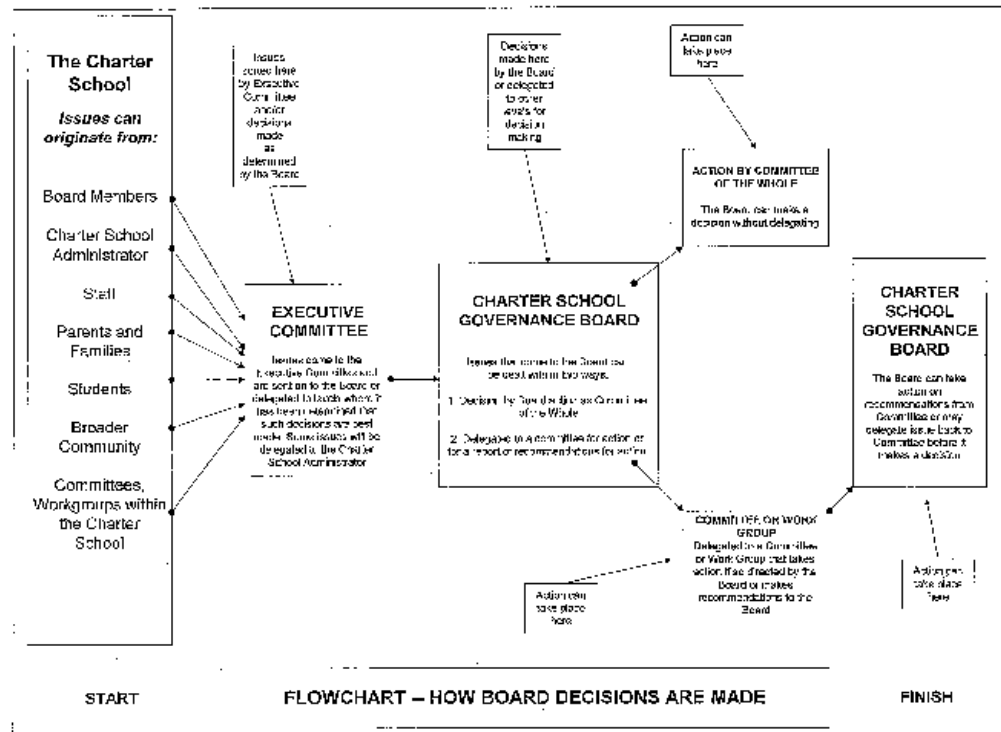
This tool is designed for use by a charter school that is already operating. It should be completed via a discussion by governing board members, the lead administrator, the business manager and/or other senior administrative staff, as appropriate for the charter school. The board should specify when subcommittees have a role.

The purpose of the instrument is to have a detailed discussion about roles and responsibilities and keep the documentation for future reference. The list of items is not exhaustive and may be adjusted to suit the unique needs of the charter school.

Note: in the chart, the word "blend" means the board and administration each have a role. In the case of blended roles, specific delineations should be noted in the "notes" column.

Task/Issue	Board	Administrator	Blend	Notes
<i>School</i>				
Maintains the vision/mission				
Implements the vision/mission on a daily basis				
Ensures compliance with the original charter				
Maintains legal status; ensures proper paperwork is filed				
Develops the strategic plan & implements it				
Monitors progress of the strategic plan				
Prepares board meeting agendas				
Prepares & distributes board packets				
Posts board meeting notices				
Maintains corporate records				
Identifies the need for new board policies				
Maintains contact with the authorizer				
Maintains relations with key community				

Board Decisions-Handout #12



Administrator Recruiting

Selecting Administrator-Handout #13

Selecting, Reviewing and Supporting the Administrator

An effective board identifies and hires a capable administrator who shares the mission and vision of the school. The board is also responsible for the annual evaluation of the administrator and the setting of professional goals for improvement. Boards support administrators by ensuring that they have the necessary resources to accomplish goals and by conveying confidence in their day-to-day decisions.

Characteristics of a Quality Leader

- Focuses decisions on what is best for students
- Knows how to disaggregate data to make decisions about curricular adjustments and teacher training
- Communicates well with parents, students, faculty, board, and staff
- Recognizes a variety of needs by staff, faculty and students and is willing to find ways to meet their needs
- Incorporates input from stakeholders to provide shared ownership in decision making
- Knows how to effectively delegate tasks and responsibilities
- Leads by example by being highly motivated, accountable, and willing to actively pursue growth opportunities
- Communicates the vision to school staff, faculty, community members, authorizer, and students
- Stays current on educational research and is willing to try new things to meet the needs of students and staff
- Has demonstrated expertise in teaching and learning
- Knows how to inspire and create an effective professional learning community
- Is an excellent manager of people, time, resources, and budgets
- Has experience in and appreciation for the school model/philosophy

The Hiring Process

Given the independence of charter schools, the administrator must be both an instructional and a business leader. They must manage the facility and finances, oversee instructional and operational staff, engage with students, evaluate school culture and morale, represent the school to parents and the community, manage conflict, promote the school, ensure the school meets all local, state, and federal laws, encourage academic and professional excellence, and guide the school toward meeting its goals. In short, the administrator guides the school on the path to its mission and vision.

Creating a job description: The board should write a detailed job description for the position and decide how it will interview and select qualified candidates. The job description should include the minimum professional qualifications such as the type of degree, certification, and work experience; and the job duties.

Head of School Job Description

Job Description-Handout #14

Example: Head of School Job Description

The head of school is the sole employee of the board of trustees. In situations with very large schools and multiple divisions and/or campuses, often there is a president and one or more school heads. In those instances, the following job description is "divided" between president and school head(s), as mutually agreed upon by the president and the board of trustees.

Position Title: Head of School

Reports To: Charter School Board of Directors

Summary

The Head of School is responsible for overall operations of the school. S/he is a member ex officio of all standing committees of the Board, represents the Board to faculty/staff and students/families of the school, and sees that the general policies of the Board are understood and followed. S/he hires faculty and administration, holds regular meetings of the faculty and staff, and supervises and coordinates the activities of the entire organization.

Essential Duties and Responsibilities

The Head of School:

Board Relations

- Works with the board of trustees, its chair, and its committees in carrying out established school policies; reviews those policies and make recommendations for changes; attends meetings, prepares reports, maintains board records, and keeps trustees informed on all aspects of the school's operation.
- Provides to the board of trustees various scenarios and possibilities for the board to consider as it does its work focusing on the strategic future of the school.

Operations Management

- Supervises all programs of the school (academic, athletic, ethical, and other extracurricular programs); monitors curriculum, grading, testing, and reporting to parents; prepares for and conducts periodic program evaluations; submits reports to external agencies as required; establishes disciplinary policies and standards of conduct.
- Manages the sometimes competing demands of the various constituencies of the school.

Performance Management

Performance Plan-Handout #15

Example: Performance Management Plan

Employee Information		Performance Review Information	
Name:		Period Evaluated:	
Position:		Reviewed By:	
Employee Salary:		Review Date:	
Manager:		Next Review Date:	

Position Plan/Responsibilities of Job

Insert relevant job responsibility information here ...

Overall Rating	Outstanding	Exceeds Expectations	Successful	Needs Improvement	Unsatisfactory

Manager/Reviewer Comments

Insert comments from manager/reviewer here ...

Manager Signature: _____

Signature indicates manager set objectives and measures for the coming year and conducted the annual review.

Employee Comments

Insert comments from employee here ...

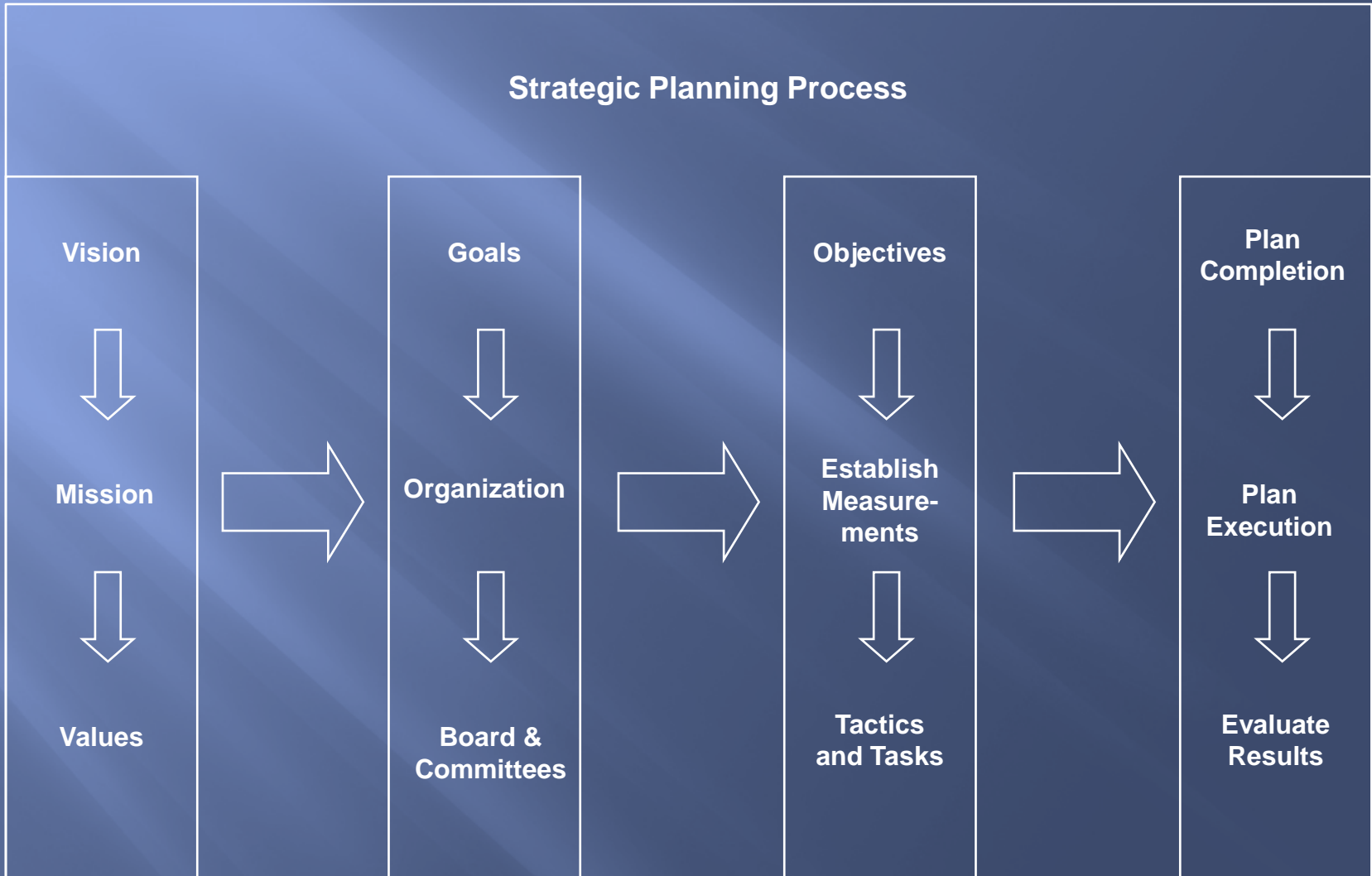
Employee Signature: _____

Signature indicates employee has received annual review and objectives and measures for the coming year.

Board Reporting

- ▣ Staff Status Report on operations
- ▣ Business Manager financial reporting to treasurer for review
- ▣ Administrative items to board agenda

Strategic Planning

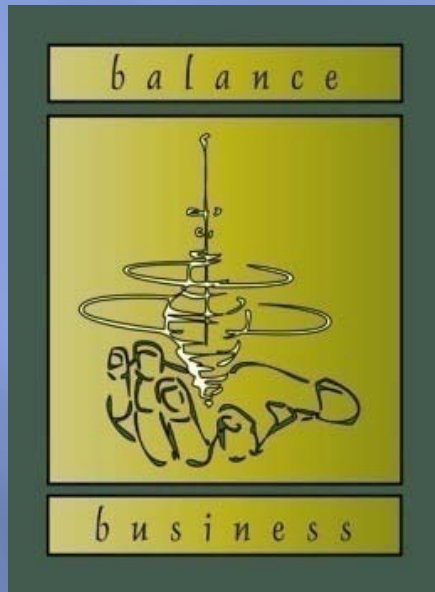


Strategic Planning

- ▣ Board and Administration Collaboration
- ▣ Vision, Mission, Values Alignment
- ▣ Long and Short Term Goals
- ▣ Setting and Tracking Priorities
- ▣ Periodic Review
- ▣ Annual Updates

Workshop Summary

- ▣ Board Governance
- ▣ Board Responsibility
- ▣ Board Effectiveness
- ▣ Charter School Leadership
- ▣ Strategic Planning



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